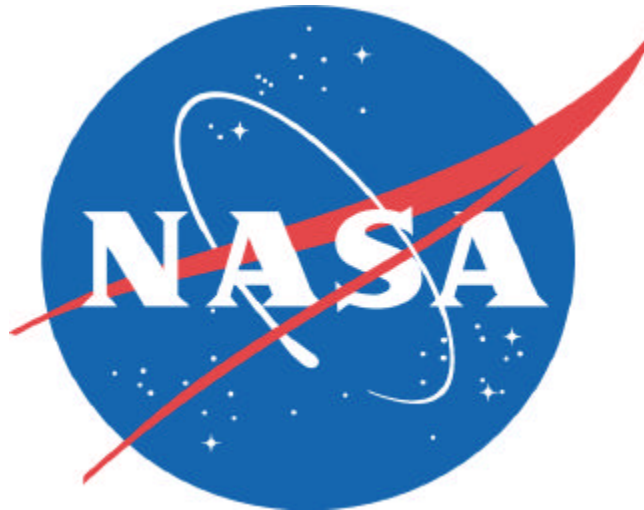


Responsible Office: NASA Office of Equal Opportunity Programs
Subject: OEOP Budget Formulation and Execution



Office of Equal Opportunity Programs
Minority University Research and Education Division

Office Work Instruction

OEOP Budget Formulation and Execution

Approved by: original signed by
George E. Reese
Associate Administrator
Office of Equal Opportunity Programs

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DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
<i>Baseline</i>		1-19-00	
Revision	A	5-02-00	Revisions made based on systemic analysis of ISO 9001 Registrar comments during February 2000 ISO 9001 Registrar Precertification Audit of NASA Headquarters Functional Offices.

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1. Purpose

This Office Work Instruction (OWI) describes the process used by the Minority University Research and Education Division (MURED) in the Office of Equal Opportunity Programs (OEOP) in formulating and executing the Minority University Research and Education Programs (MUREP) budget.

2. Scope and Applicability

This OWI describes the procedure for the MUREP budget formulation and execution process, by which the MURED (a) establishes the funding requirements for the budget year (current year plus two years) and the four subsequent years and (b) establishes and assesses the distribution of funding to the Centers during the current fiscal year. The MURED of OEOP is included as a Center.

3. Definitions

- 3.1 Annual Funding Plan. Allocation of budget funds from NASA Headquarters office to NASA Centers
- 3.2 Annual Phasing Plan. Allocation by month of budget funds to be spent during a given fiscal year.
- 3.3 CIC. Capital Investment Council.
- 3.4 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).
- 3.5 Code L. NASA Headquarters Office of Legislative Affairs.
- 3.6 Congressional Narrative. Text that describes for Congress the scope of program activities the President's Budget for MUREP is proposing to address.
- 3.7 FACS. Financial and Contractual Status
- 3.8 Green Authority. Resource authority warrant to transfer funds from Code B to NASA Headquarters offices.
- 3.9 HBCUs. Historically Black Colleges and Universities.
- 3.10 MURED. Minority University Research and Education Division.
- 3.11 MURED DD. MURED Division Director.
- 3.12 MUREP. Minority University Research and Education Programs.
- 3.13 OEOP AA. Office of Equal Opportunity Programs Associate Administrator.
- 3.14 OMB. Office of Management and Budget.
- 3.15 OMUs. Other Minority Universities, includes Hispanic Serving Institutions and Tribal Colleges and Universities.
- 3.16 Passback. OMB response to NASA's budget submission
- 3.17 POP. Program Operating Plan.
- 3.18 Program Financial Plan (PFP). Amount of budget funds the a NASA Headquarters office requests in each fiscal year.
- 3.19 Reclama. NASA's response to OMB's passback.

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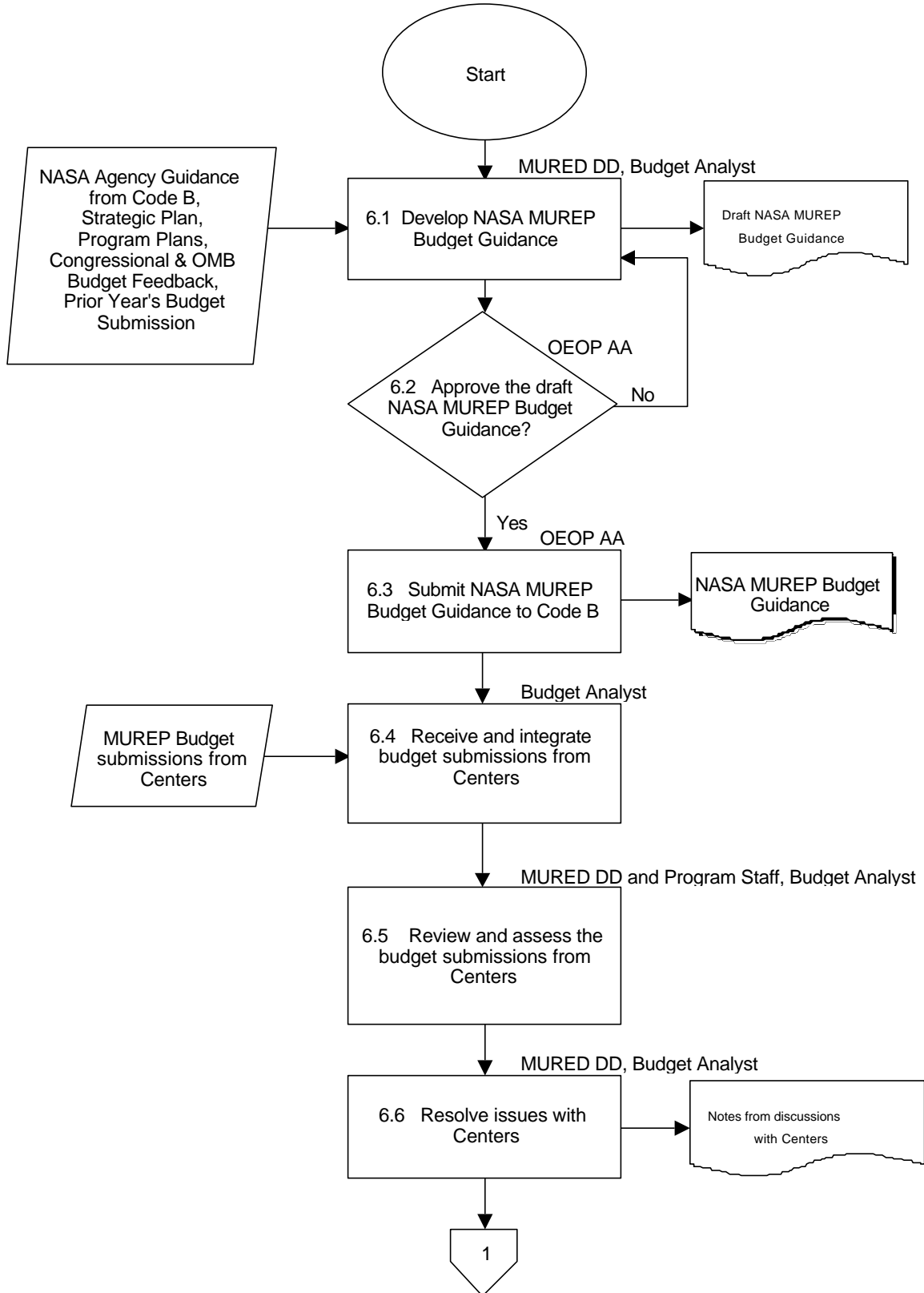
- 3.20 Resource Authority Warrant. Mechanism for transfer of funds.
- 3.21 SMC. Senior Management Council.
- 3.22 Uniform Outcomes Annual Report. Annual report that lists results grantees reported from grants they received through the MUREP Program.
- 3.23 White Authority. Resource authority warrant to transfer funds from NASA Headquarters offices to NASA Centers.

4. References

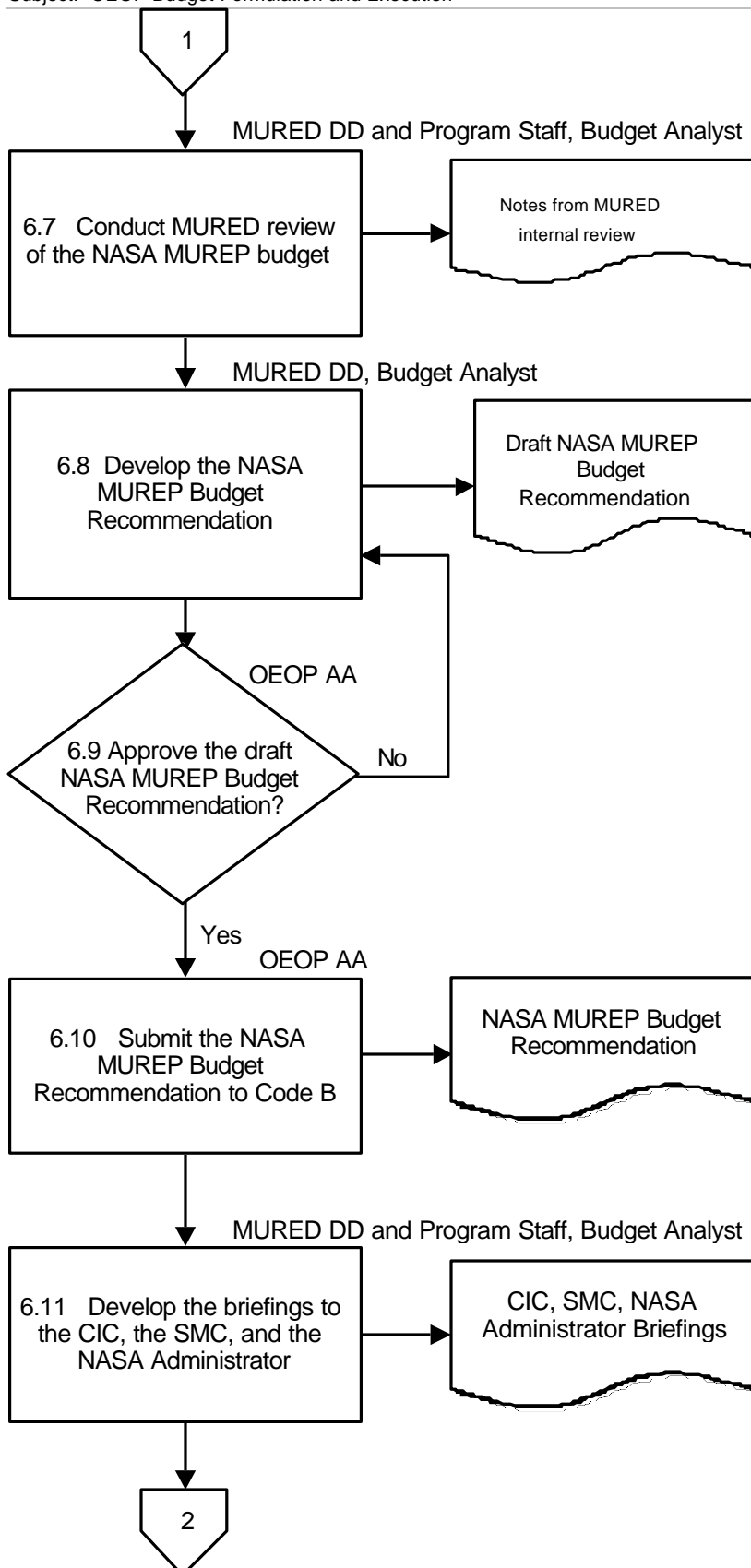
- 4.1 NPD 1000.1, NASA Strategic Plan
- 4.2 NPG 1000.2, NASA Strategic Management Handbook
- 4.3 NHB 1101.3, The NASA Organization
- 4.4 President's Budget Estimate
- 4.5 Historically Black Colleges and Universities Plan
- 4.6 Educational Excellence for Hispanic Americans Plan
- 4.7 Tribal Colleges and Universities Plan

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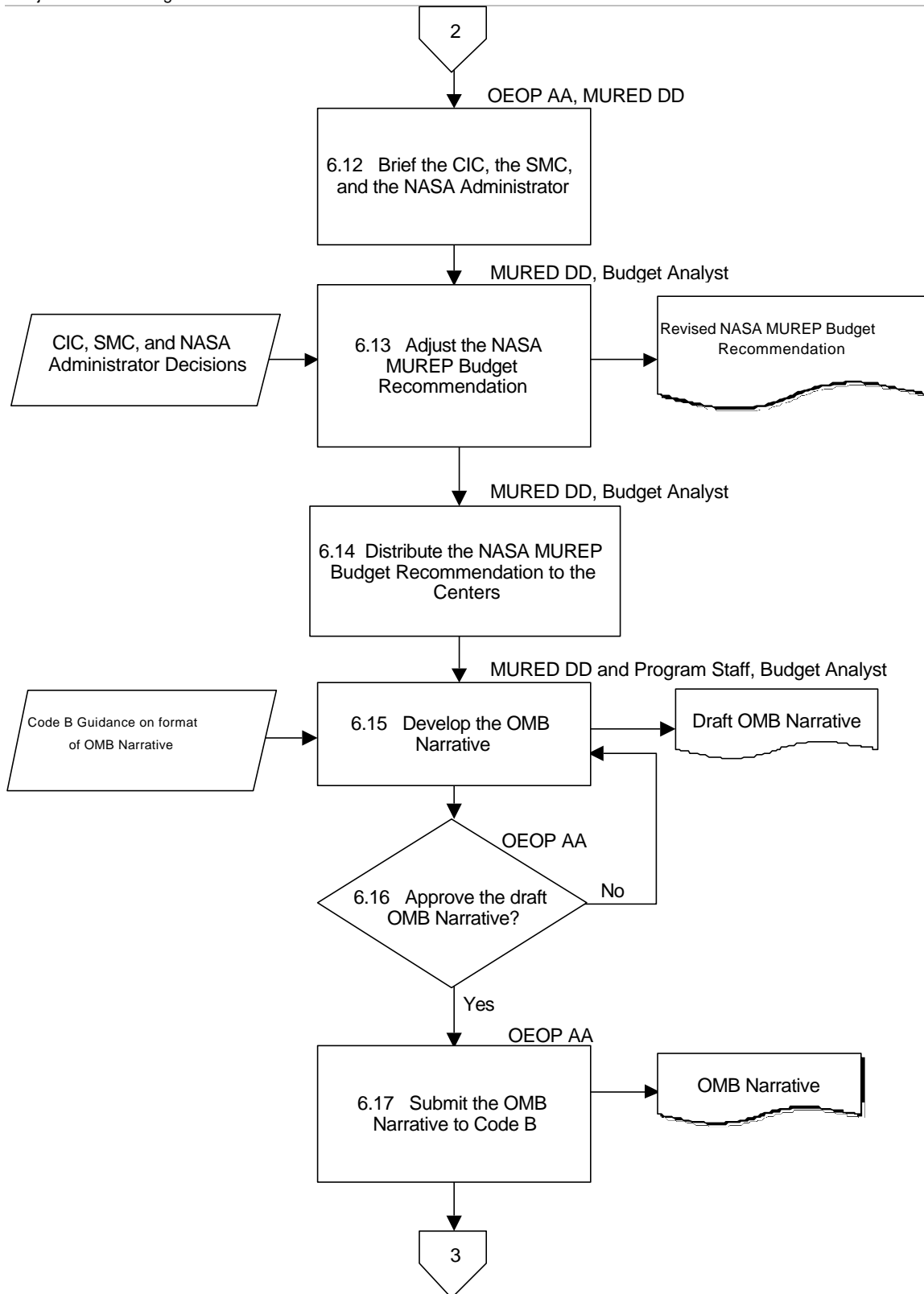
5. Flowchart



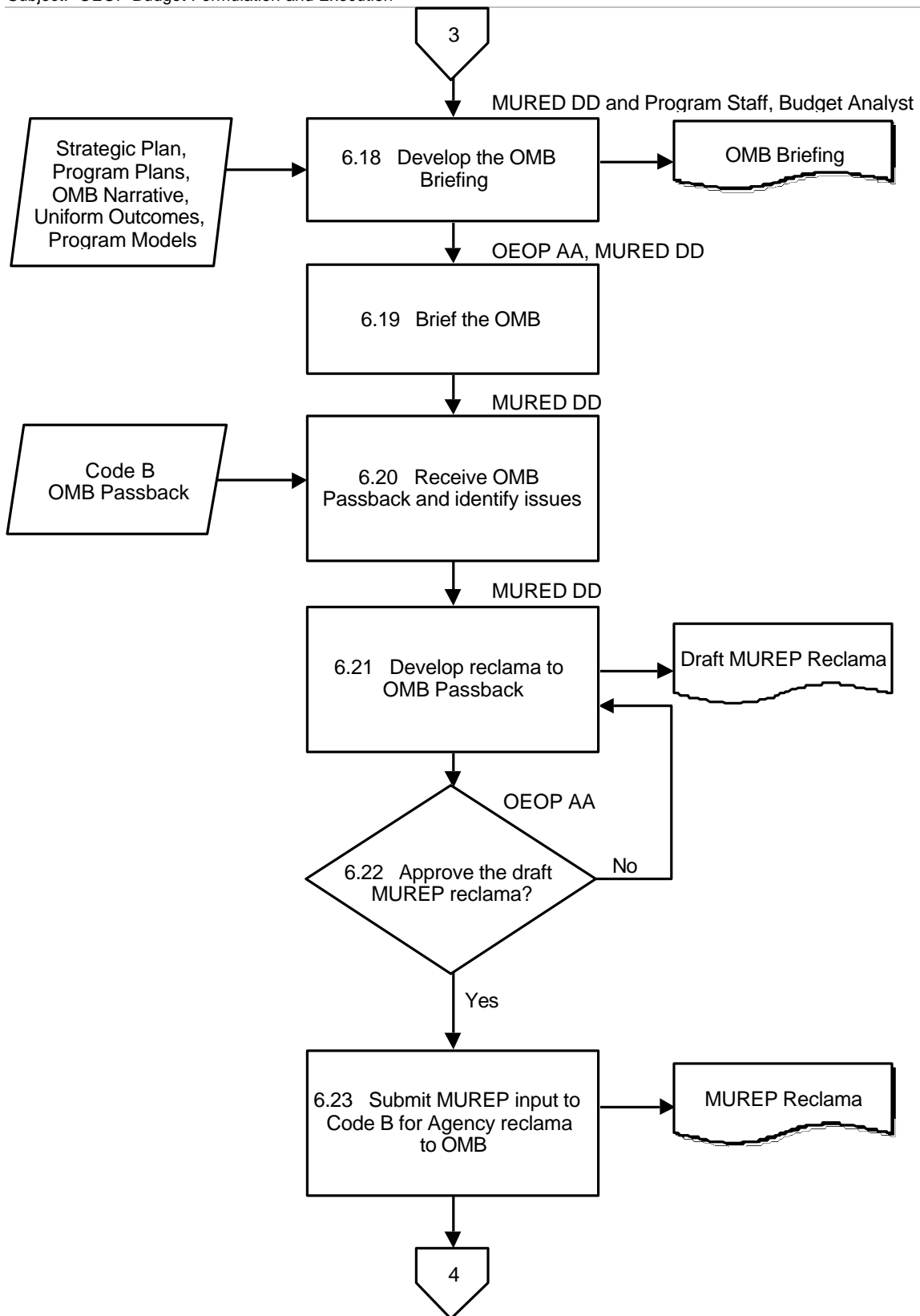
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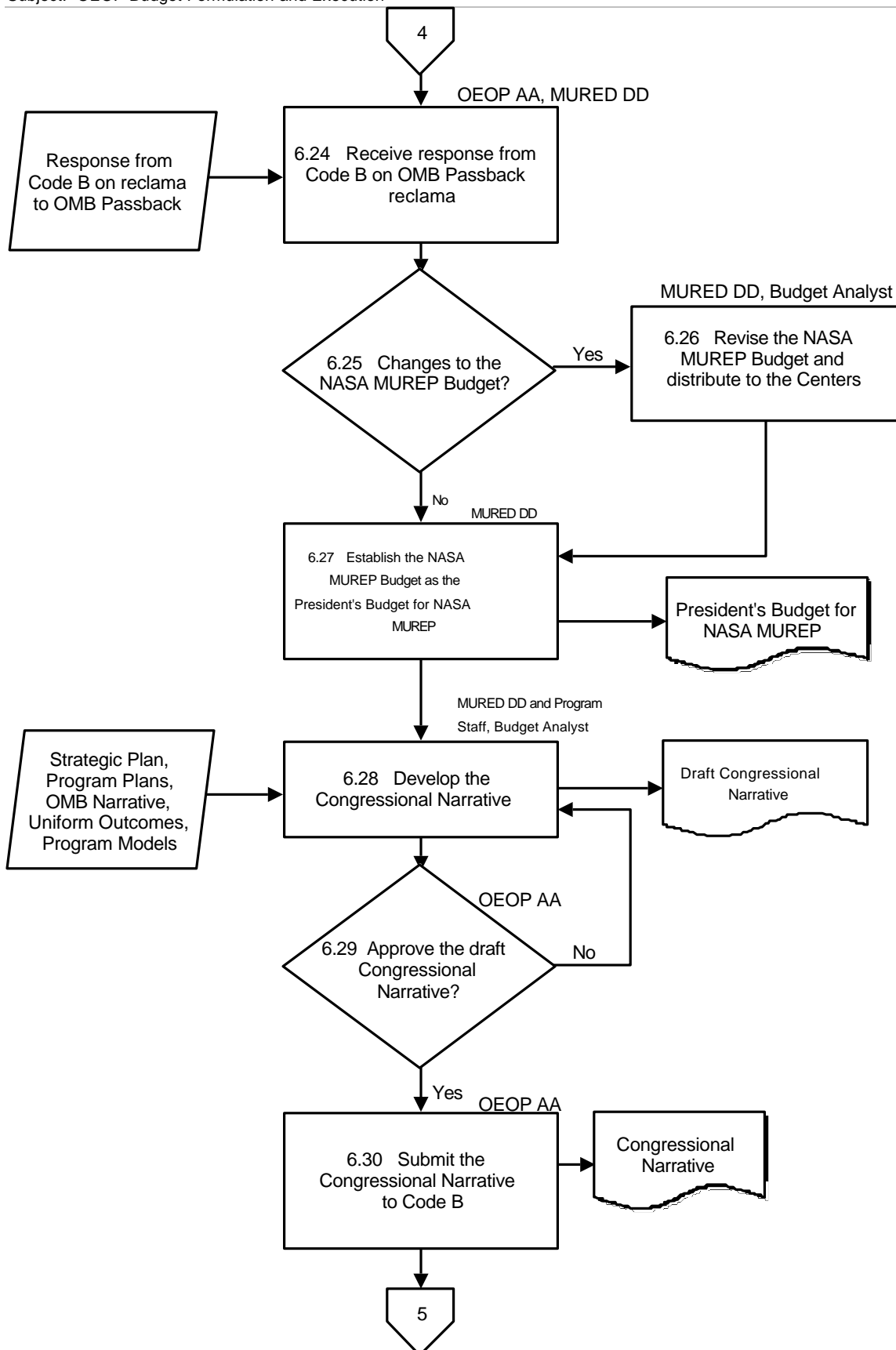
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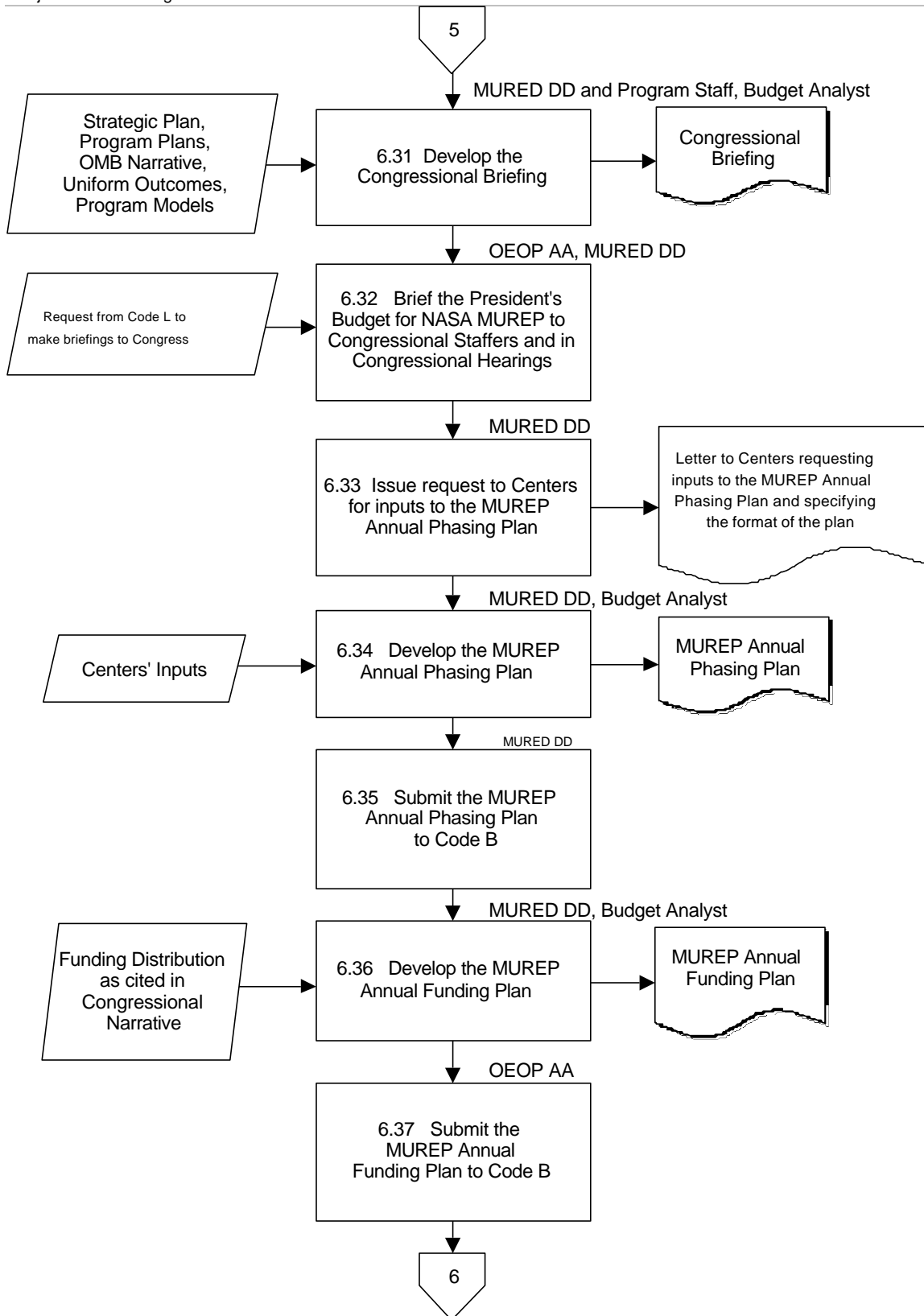
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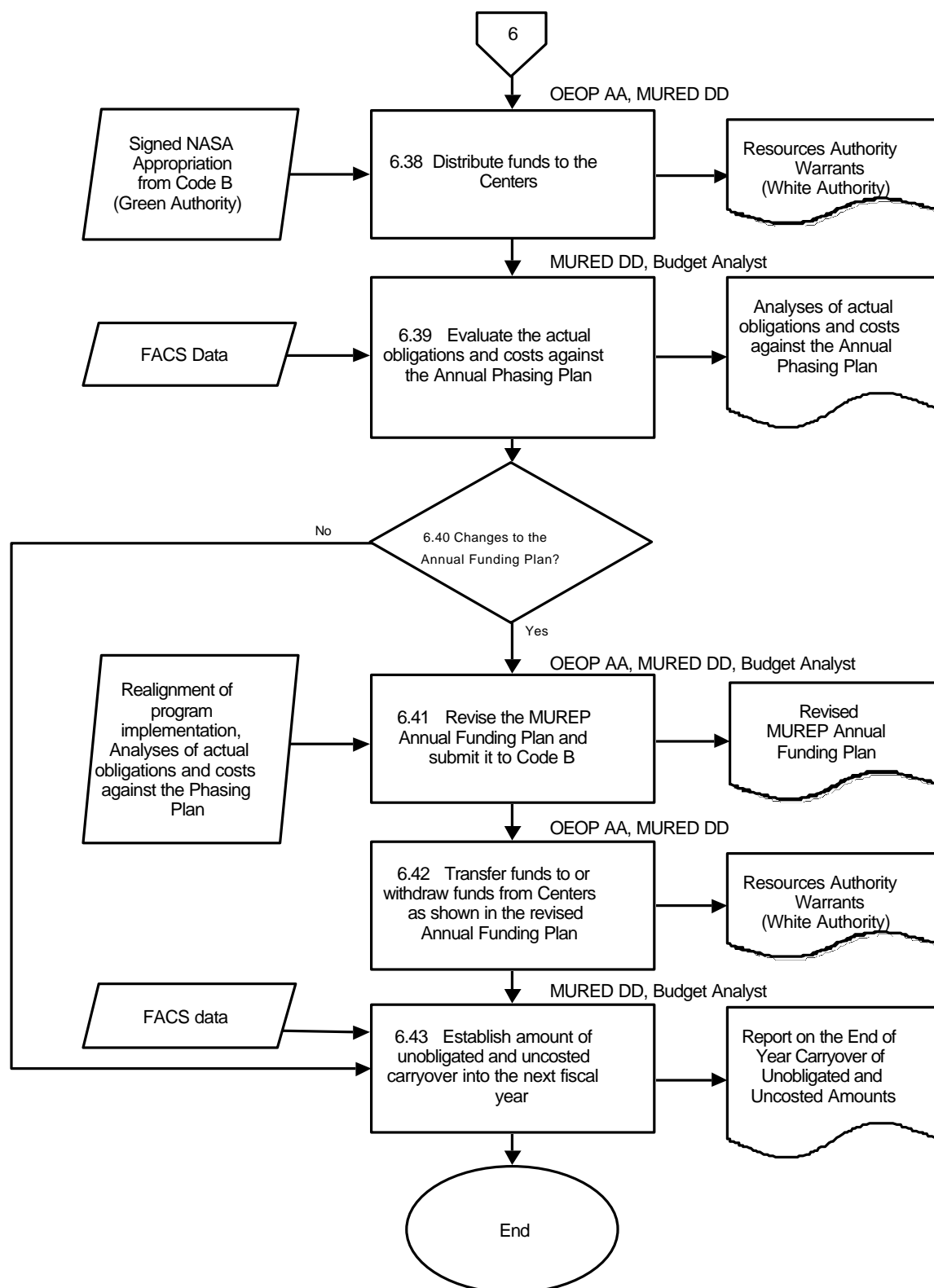
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6. Procedure

Step	Actionee	Action
6.1	MURED DD, Budget Analyst	Develop the NASA MUREP Budget Guidance that establishes the requested funding for the total MUREP, the funding for specific programs (i.e., HBCU and OMU) within the MUREP, and the funding for these programs at each Center. This includes the (a) letter from the OEOP AA that describes the budget assumptions, (b) a worksheet that provides a trace from the prior year's approved budget to the current year's guidance for each Center, and (c) the format for the Centers to submit their respective budget requests.
6.2	OEOP AA	Approve the NASA MUREP Budget Guidance. This decision is made based on the AA's professional judgment and knowledge of the organization. If approval is given, go to 6.3. If disapproved, OEOP AA gives direction for revision.
6.3	OEOP AA	Submit under OEOP AA signature the NASA MUREP Budget Guidance to Code B who consolidates all NASA Budget Guidance and sends it to the Centers' CFOs.
6.4	Budget Analyst	Receive and integrate the Centers' MUREP budget submissions. Review and assess the submissions for compliance with budget assumptions and formats.
6.5	MURED DD, MURED Program Staff, Budget Analyst	Review and assess the Centers' MUREP budget submissions to ensure that those submissions for individual programs and projects managed and/or overseen by the DD and Program Staff accurately reflect program/project objectives and priorities.
6.6	MURED DD, Budget Analyst	Resolve issues with the Centers and make adjustments, as required.
6.7	MURED DD, MURED Program Staff, Budget Analyst	Conduct internal MURED review of NASA MUREP Budget to ensure that those submissions for individual programs and projects managed and/or overseen by the DD and Program Staff accurately reflect program/project objectives and priorities.
6.8	MURED DD, Budget Analyst	Develop the draft NASA MUREP Budget Recommendation. This includes (a) the letter from the OEOP AA that summarizes the MUREP budget priorities and issues, (b) the Program Financial Plan, and (c) the NASA total MUREP Budget Recommendation and the MUREP Budget Recommendation for each Center.
6.9	OEOP AA	Approve or disapprove the draft NASA MUREP Budget Recommendation. This decision is made based on the AA's professional judgment and knowledge of the

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		organization. If approved, go to 6.10. If disapproved, OEOP AA gives direction for revision, and return to 6.8.
6.10	OEOP AA	Submit to Code B under OEOP AA signature the NASA MUREP Budget Recommendation.
6.11	MURED DD, MURED Program Staff, Budget Analyst	Develop the briefings to the Capital Investment Council (CIC), the Senior Management Council (SMC), and the NASA Administrator on the NASA MUREP Budget Recommendation.
6.12	OEOP AA, MURED DD	Brief the CIC, the SMC, and the NASA Administrator.
6.13	MURED DD, Budget Analyst	Adjust the NASA MUREP Budget Recommendation based on decisions of the CIC, the SMC, and the NASA Administrator.
6.14	MURED DD, Budget Analyst	Distribute by email to the Centers the NASA MUREP Budget Recommendation.
6.15	MURED DD, Budget Analyst	Develop the draft Office of Management and Budget (OMB) Narrative.
6.16	OEOP AA	Approve or disapprove the draft OMB Narrative. This decision is made based on the AA's professional judgment and knowledge of the organization. If approved, go to 6.17. If disapproved, OEOP AA gives direction for revision, and return to 6.15.
6.17	OEOP AA	Submit the OMB Narrative to Code B.
6.18	MURED DD, MURED Program Staff, Budget Analyst	Develop the OMB briefing on the NASA MUREP Budget Recommendation. Compile data from the Uniform Outcomes Annual Report.
6.19	OEOP AA, MURED DD	Brief the OMB on the NASA MUREP Budget Recommendation.
6.20	MURED DD	Receive the OMB Passback from Code B and identify issues.
6.21	MURED DD	Develop draft MUREP reclama to the OMB Passback.
6.22	OEOP AA	Approve or disapprove the draft MUREP reclama to the OMB Passback. . This decision is made based on the AA's professional judgment and knowledge of the organization. If approved, go to 6.23. If disapproved, OEOP AA gives direction for revision.
6.23	OEOP AA	Submit under OEOP signature MUREP input to Code B for the Agency reclama to the OMB Passback.
6.24	OEOP AA, MURED DD	Receive response from Code B on the OMB Passback reclama.
6.25	MURED DD, Budget Analyst	Determine whether there are changes to the budget as a result of the response from Code B on the OMB Passback. If there are no changes, go to 6.27. If there are changes, go to 6.26.

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6.26	MURED DD, Budget Analyst	Revise the NASA MUREP Budget, and distribute it to the Centers.
6.27	MURED DD	Once OMB and NASA agree on budget, ensure that notation of MUREP status of budget changes from the NASA MUREP Budget to the President's Budget for NASA MUREP.
6.28	MURED DD, MURED Program Staff, Budget Analyst	Develop the draft Congressional Narrative. Compile data from the Uniform Outcomes Annual Report. Include plans for the upcoming fiscal years.
6.29	OEOP AA	Approve or disapprove the draft Congressional Narrative. This decision is made based on the AA's professional judgment and knowledge of the organization. If approved, go to 6.27. If disapproved, OEOP AA gives direction for revision, and return to 6.28.
6.30	OEOP AA	Submit under OEOP signature the Congressional Narrative to Code B.
6.31	MURED DD, MURED Program Staff, Budget Analyst	Develop the Congressional Briefing to present the President's Budget for NASA MUREP to Congressmen and their Professional Staff who monitor MUREP activities. Compile data from the Uniform Outcomes Annual Report. Include plans for the upcoming fiscal years.
6.32	OEOP AA, MURED DD	Brief the President's Budget for NASA MUREP to Congressional Staffers and in Congressional Hearings in response to the request from Code L.
6.33	MURED DD	Issue the request to the Centers for inputs to the MUREP Annual Phasing Plan (obligations and costs) for the new fiscal year and specify the plan format.
6.34	MURED DD, Budget Analyst	Develop the MUREP Annual Phasing Plan.
6.35	MURED DD	Submit under MURED DD signature the MUREP Annual Phasing Plan to Code B.
6.36	MURED DD, Budget Analyst	Develop the MUREP Annual Funding Plan.
6.37	MURED DD	Submit under the MURED DD signature the MUREP Annual Funding Plan to Code B.
6.38	OEOP AA, MURED DD	Distribute funds to the Centers.
6.39	MURED DD, Budget Analyst	Evaluate the monthly obligations and costs as reported in the FACS and the projected end-of-year obligations and costs against the MUREP Annual Phasing Plan.
6.40	MURED DD, Budget Analyst	If there are any changes to the Annual Funding Plan as a result of the monthly evaluation of obligations and costs, go to 6.41. If there are no changes to the Annual Funding

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		Plan, go to 6.43.
6.41	MURED DD, Budget Analyst	Revise the MUREP Annual Funding Plan as a result of evaluation of obligations and costs against the Annual Phasing Plan or as a result of realignment of program implementation by the Centers. Submit under MURED DD signature the revised MUREP Annual Funding Plan to Code B.
6.42	OEOP AA, MURED DD	Transfer funds to or withdraw funds from Centers (via Resources Authority Warrants) as shown in the revised Annual Funding Plan.
6.43	MURED DD, Budget Analyst	Establish amount of unobligated and uncOSTed carryover into the next fiscal year.

7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
NASA MUREP Budget Guidance	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
NASA MUREP Budget Recommendation	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
CIC, SMC, NASA Administrator Briefings	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
Revised NASA MUREP Budget Recommendation	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
OMB Narrative	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
OMB Briefing	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
MUREP Reclama	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
President's Budget for NASA MUREP	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
Congressional Narrative	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
Congressional	MURED	Code	Hard copy	Schedule 7,	Destroy one year after

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Briefing	DD	EU		Item 21F	close of the fiscal year covered by budget
MUREP Annual Phasing Plan	MURED DD	Code EU	Hard copy	Schedule 7, Item 21E	Destroy when 5 years old
MUREP Annual Funding Plan	MURED DD	Code EU	Hard copy	Schedule 7, Item 21E	Destroy when 5 years old
Resources Authority Warrants (White Authority)	MURED DD	Code EU	Hard copy	Schedule 7, Item 21D	Destroy 2 years after the close of the fiscal year
Revised MUREP Annual Funding Plan	MURED DD	Code EU	Hard copy	Schedule 7, Item 21E	Destroy when 5 years old